



RECEIVED  
DEC 07 2001  
JCT 17100

|   |                                       |                        |
|---|---------------------------------------|------------------------|
| <b>FORM PTO-1449 (Modified)</b>   | Docket No.: 310048-550                | Serial No. 709/872,353 |
| LIST OF PATENTS AND PUBLICATIONS<br>FOR APPLICANT'S INFORMATION<br>DISCLOSURE STATEMENT | Applicants: Brian R. McCarthy, et al. |                        |
|   | Filing Date: 06/01/2001               | Art Unit: 1772         |

### UNITED STATES PATENT DOCUMENTS

| *Exr's.<br>Inits. | Ref. | Patent No. | Date     | Name                | Class | Sub Class | Filing Date<br>(if applic-<br>able) |
|-------------------|------|------------|----------|---------------------|-------|-----------|-------------------------------------|
| AC                | AA   | 3,239,478  | 03/08/66 | Harlan, Jr.         | 260   | 27        | 06/26/63                            |
| AC                | AB   | 3,420,364  | 01/07/69 | Kennedy, Jr.        | 206   | 56        | 09/14/67                            |
| AC                | AC   | 3,769,147  | 10/30/73 | Komendat et al.     | 161   | 82        | 08/11/79                            |
| AC                | AD   | 4,004,058  | 01/18/77 | Buros et al.        | 428   | 215       | 07/17/75                            |
| AC                | AE   | 4,020,204  | 04/26/77 | Taylor et al.       | 428   | 40        | 12/24/75                            |
| AC                | AF   | 4,051,285  | 09/27/77 | Kramer              | 428   | 43        | 06/06/73                            |
| AC                | AG   | 4,405,401  | 09/20/83 | Stahl               | 156   | 248       | 07/15/81                            |
| AC                | AH   | 4,447,481  | 05/08/84 | Holmberg et al.     | 428   | 40        | 07/11/83                            |
| AC                | AI   | 4,549,063  | 10/22/85 | Ang et al.          | 219   | 121       | 07/20/83                            |
| AC                | AJ   | 4,704,317  | 11/03/97 | Hickenbotham et al. | 428   | 156       | 09/15/86                            |
| AC                | AK   | 4,863,772  | 09/05/89 | Cross               | 428   | 40        | 04/20/88                            |
| AC                | AL   | 5,132,915  | 07/21/92 | Goodman             | 364   | 479       | 10/30/89                            |
| AC                | AM   | 5,135,789  | 08/04/92 | Schmidt             | 428   | 42        | 01/23/91                            |
| AC                | AN   | 5,198,275  | 03/30/93 | Klein               | 428   | 43        | 08/15/91                            |

### FOREIGN PATENT DOCUMENTS

| Exr's.<br>Init. | Ref | Document No.       | Date       | Country | Class | Sub | Translation? |    |
|-----------------|-----|--------------------|------------|---------|-------|-----|--------------|----|
|                 |     |                    |            |         |       |     | Yes          | No |
| /               | AO  | DE 42 40 825<br>A1 | 9.6.94     | Germany | 5     |     |              | X  |
| AC              | AP  | 2,148,553          | 1995/12/09 | Canada  | 6     |     | X            |    |
| AC              | AQ  | WO 97/17664        | 15.05.97   | PCT     | 6     |     | X            |    |
| AC              | AR  | WO 97/40979        | 06.11.97   | PCT     | 6     |     | X            |    |

### OTHER REFERENCES (Including Author, Date, Title, Pertinent Pages, Etc.)

| Exr's.<br>Inits. | Ref. | Bibliographic Data |
|------------------|------|--------------------|
|                  | AS   |                    |
|                  | AT   |                    |

|                                  |                            |
|----------------------------------|----------------------------|
| Examiner<br><i>Alicia Ruelas</i> | Date Considered<br>12/3/02 |
|----------------------------------|----------------------------|

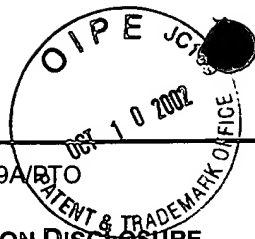
\* Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. ¶ 609. Draw line through citation (i.e., ~~citation~~) if not in conformance and not considered. Include copy of this form with next communication to applicant.

DEC 07 2001

RECEIVED  
DEC 10 2001  
TC 1772/100

| <b>FORM PTO-1449 (Modified)</b>   |      | Docket No.: 310048-550        |          | Serial No.: 09/872,353           |       |           |                                     |  |
|---|------|-------------------------------|----------|----------------------------------|-------|-----------|-------------------------------------|--|
| LIST OF PATENTS AND PUBLICATIONS<br>FOR APPLICANT'S INFORMATION<br>DISCLOSURE STATEMENT |      | Applicants: Brian R. McCarthy |          |                                  |       |           |                                     |  |
|   |      | Filing Date: 06/01/2001       |          | Art Unit: 1772/100               |       |           |                                     |  |
| <b>UNITED STATES PATENT DOCUMENTS</b>   |      |                               |          |                                  |       |           |                                     |  |
| *Exr's.<br>Inits.   | Ref. | Patent No.                    | Date     | Name                             | Class | Sub Class | Filing Date<br>(if applic-<br>able) |  |
| AC  | BA   | 5,340,427                     | 08/23/94 | Cusack et al.                    | 156   | 268       | 04/24/92                            |  |
| Ac  | BB   | 5,462,783                     | 10/31/95 | Esselmann                        | 428   | 40        | 08/23/94                            |  |
| Ac  | BC   | 5,571,587                     | 11/05/96 | Bishop et al.                    | 428   | 43        | 07/14/94                            |  |
| Ac  | BD   | 5,632,842                     | 05/27/97 | Oliver et al.                    | 156   | 268       | 09/11/95                            |  |
| Ac  | BE   | 5,702,789                     | 12/30/97 | Fernandez-<br>Kirchberger et al. | 428   | 40.1      | 05/23/96                            |  |
| Ac  | BF   | 5,793,174                     | 08/11/98 | Kovach et al.                    | 318   | 468       | 11/27/96                            |  |
| Ac  | BG   | 5,842,722                     | 12/01/98 | Carlson                          | 283   | 107       | 09/19/91                            |  |
| Ac  | BH   | 5,885,678                     | 03/23/99 | Malhotra                         | 428   | 41.8      | 06/03/96                            |  |
| Ac  | BI   | 5,908,209                     | 06/01/99 | Carides et al.                   | 283   | 81        | 03/11/98                            |  |
| Ac  | BJ   | 5,976,294                     | 11/02/99 | Fagnant et al.                   | 156   | 192       | 03/23/98                            |  |
| Ac  | BK   | 5,985,075                     | 11/16/99 | Freedman                         | 156   | 229       | 10/14/97                            |  |
| Ac  | BL   | 5,997,683                     | 12/07/99 | Popat                            | 156   | 277       | 11/21/94                            |  |
| Ac  | BM   | 6,001,209                     | 12/14/99 | Popat et al.                     | 156   | 249       | 07/07/95                            |  |
| <b>FOREIGN PATENT DOCUMENTS</b>   |      |                               |          |                                  |       |           |                                     |  |
| Exr's.<br>Init.   | Ref  | Document No.                  | Date     | Country                          | Class | Sub       | Translation?<br>Yes No              |  |
| Ac  | BN   | WO 00/16978                   | 30.03.00 | PCT                              | 6     |           | X                                   |  |
| Ac  | BO   | WO 00/46316                   | 10.08.00 | PCT                              | 7     |           | X                                   |  |
|   | BP   |                               |          |                                  |       |           |                                     |  |
|   | BQ   |                               |          |                                  |       |           |                                     |  |
| <b>OTHER REFERENCES (Including Author, Date, Title, Pertinent Pages, Etc.)</b>          |      |                               |          |                                  |       |           |                                     |  |
| Exr's.<br>Inits.  | Ref. | Bibliographic Data            |          |                                  |       |           |                                     |  |
|   | BR   |                               |          |                                  |       |           |                                     |  |
|   | BS   |                               |          |                                  |       |           |                                     |  |
| Examiner <i>Alicia Chvalier</i>   |      | Date Considered<br>12/3/02    |          |                                  |       |           |                                     |  |

\* Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. ¶ 609. Draw line through citation (i.e., ~~citation~~) if not in conformance and not considered. Include copy of this form with next communication to applicant.



|   |   |           |   |                               |                      |
|---|---|-----------|---|-------------------------------|----------------------|
| <b>Substitute for form 1449A/BTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(use as many sheets as necessary) |   |           |   | <b>Complete if Known</b>      |                      |
|   |   |           |   | <b>Application Number</b>     | 09/872,353           |
|   |   |           |   | <b>Filing Date</b>            | June 1, 2001         |
|   |   |           |   | <b>First Named Inventor</b>   | Brian R. McCarthy    |
|   |   |           |   | <b>Art Unit</b>               | 1772                 |
|   |   |           |   | <b>Examiner Name</b>          | Alicia Ann Chevalier |
| <b>Sheet</b>  | 1 | <b>of</b> | 1 | <b>Attorney Docket Number</b> | 310048-550           |

**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number<br>Number -Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document |
|--------------------|-----------------------|--|--------------------------------|--|
| <i>Ac</i>          | AA                    | US-5,466,013   | 11/14/1995                     | Garrison <i>283/1107</i>                           |
| <i>Ac</i>          | AB                    | US-5,589,025   | 12/31/1996                     | Garrison <i>156/1265</i>                           |
| <i>Ac</i>          | AC                    | US-5,595,403   | 01/21/1997                     | Garrison <i>283/179</i>                            |
| <i>Ac</i>          | AD                    | US-5,782,497   | 07/21/1998                     | Casagrande <i>283/179</i>                          |
| <i>Ac</i>          | AE                    | US-5,890,743   | 04/06/1999                     | Garrison et al. <i>283/1109</i>                    |
|                    | AF                    | US-  |                                |  |
|                    | AG                    | US-  |                                |  |
|                    | AH                    | US-  |                                |  |
|                    | AI                    | US-  |                                |  |
|                    | AJ                    | US-  |                                |  |
|                    | AK                    | US-  |                                |  |
|                    | AL                    | US-  |                                |  |
|                    | AM                    | US-  |                                |  |
|                    | AN                    | US-  |                                |  |
|                    | AO                    | US-  |                                |  |
|                    | AP                    | US-  |                                |  |
|                    | AQ                    | US-  |                                |  |
|                    | AR                    | US-  |                                |  |
|                    | AS                    | US-  |                                |  |
|                    | AT                    | US-  |                                |  |
|                    | AU                    | US-  |                                |  |

RECEIVED  
OCT 16 2002  
TC 1700**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>6</sup> |
|--------------------|-----------------------|--|--------------------------------|--|--|----------------|
| <i>Ac</i>          | <del>AV</del>         | EP 0 658 423 A1  | 21.06.1995                     | Wallace Computer Services, Inc.                    |  |                |
|                    | <del>AW</del>         | DE 197 41 563 A1   | 25.09.1996                     | Fischer, Jules, Widen, CH                          |  |                |
| <i>Ac</i>          | AX                    | WO 98/12383  | 26.03.1998                     | Casagrande, Charles                                |  |                |

|                           |                         |                        |                |
|---------------------------|-------------------------|------------------------|----------------|
| <b>Examiner Signature</b> | <i>Alicia Chevalier</i> | <b>Date Considered</b> | <i>12/3/02</i> |
|---------------------------|-------------------------|------------------------|----------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.



|  |   |    |   |                        |                      |
|--|---|----|---|------------------------|----------------------|
| Substitute for form 1449/PTO   |   |    |   | Complete if Known      |                      |
|  |   |    |   | Application Number     | 09/872,353           |
| INFORMATION DISCLOSURE & TRADEMARK OFFICE<br>STATEMENT BY APPLICANT<br><br>(use as many sheets as necessary) |   |    |   | Filing Date            | June 1, 2001         |
|  |   |    |   | First Named Inventor   | Brian R. McCarthy    |
|  |   |    |   | Art Unit               | 1772                 |
|  |   |    |   | Examiner Name          | Alicia Ann Chevalier |
| Sheet  | 1 | of | 1 | Attorney Docket Number | 310048-550           |

RECEIVED  
NOV 0 8 2002  
TC 1700

| U.S. PATENT DOCUMENTS |                       |  |                                |  |
|-----------------------|-----------------------|--|--------------------------------|--|
| Examiner Initials*    | Cite No. <sup>1</sup> | Document Number<br>Number -Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document |
| AE                    | AA                    | US-6,328,340 B1  | 12/11/2001                     | Fischer 283/62                                     |
|                       | AB                    | US-  |                                |  |
|                       | AC                    | US-  |                                |  |
|                       | AD                    | US-  |                                |  |
|                       | AE                    | US-  |                                |  |
|                       | AF                    | US-  |                                |  |
|                       | AG                    | US-  |                                |  |
|                       | AH                    | US-  |                                |  |
|                       | AI                    | US-  |                                |  |
|                       | AJ                    | US-  |                                |  |
|                       | AK                    | US-  |                                |  |
|                       | AL                    | US-  |                                |  |
|                       | AM                    | US-  |                                |  |
|                       | AN                    | US-  |                                |  |
|                       | AO                    | US-  |                                |  |
|                       | AP                    | US-  |                                |  |
|                       | AQ                    | US-  |                                |  |
|                       | AR                    | US-  |                                |  |
|                       | AS                    | US-  |                                |  |
|                       | AT                    | US-  |                                |  |
|                       | AU                    | US-  |                                |  |

| FOREIGN PATENT DOCUMENTS |                       |  |                                |  |  |                |
|--------------------------|-----------------------|--|--------------------------------|--|--|----------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns,<br>Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>6</sup> |
|                          | AV                    |  |                                |  |  |                |
|                          | AW                    |  |                                |  |  |                |
|                          | AX                    |  |                                |  |  |                |

|                    |                             |                 |         |
|--------------------|-----------------------------|-----------------|---------|
| Examiner Signature | <i>Alicia Ann Chevalier</i> | Date Considered | 12/3/02 |
|--------------------|-----------------------------|-----------------|---------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.